

APR 28 2003

## TRANSMITTAL

Electronic Version v1.1

Stylesheet Version v1.1.0

| Title of Invention  | ISOLATED p27 PROTEIN AND METHODS FOR ITS PRODUCTION AND USE |                |               |             |                |  |     |          |
|---|---|----------------|---------------|-------------|----------------|--|-----|----------|
| Application Number: 09/865018 *09/865018*   |   |                |               |             |                |  |     |          |
| Date: 2001-05-24  |   |                |               |             |                |  |     |          |
| First Named Applicant: Joan Massague  |   |                |               |             |                |  |     |          |
| Confirmation Number: 4669   |   |                |               |             |                |  |     |          |
| Attorney Docket Number: GPCI-P08-079  |   |                |               |             |                |  |     |          |
| <p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document (s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p> |   |                |               |             |                |  |     |          |
| <table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>David P. Halstead<br/>Registered Number: 44,735</td><td>DYH</td><td>Attorney</td></tr></tbody></table>  |   |                | Submitted by: | Elec. Sign. | Sign. Capacity | David P. Halstead<br>Registered Number: 44,735 | DYH | Attorney |
| Submitted by:   | Elec. Sign.   | Sign. Capacity |               |             |                |  |     |          |
| David P. Halstead<br>Registered Number: 44,735  | DYH   | Attorney       |               |             |                |  |     |          |

**Documents being submitted**

us-bio-seq-trans

sequence-listing

**Files**

GPCI-P08-07904222003-usbios.xml

us-bio-seq-trans.dtd

us-bio-seq-trans.xsl

GPCI-P08-079SubstituteSequence.txt

**Comments**

This substitute CRF Biosequence is being submitted concurrently with a response to the Office Communication of 01/22/2003. This Substitute CRF supercedes and should replace the substitute sequence listing submitted on February 13, 2003

APR 28 2003

UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of  
Invention

ISOLATED p27 PROTEIN AND METHODS FOR ITS PRODUCTION AND

Submission Type: BIO Sequence Filing

Application Number: 09/865018

\*09/86

EFS ID: 40139

Server Response:

| Confirmation Code | Message  |
|-------------------|--|
| ISVR1             | Successfully received the submission   |
| ICON1             | 4669   |
| ISYS5             | Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmation/Application numbers at this time. They will be checked by PTO personnel later. |

First Named Applicant: Joan Massague

Attorney Docket Number: GPCI-P08-079

Timestamp: 2003-04-22 19:58:14 EDT

From: us

File Listing:

| Doc. Name        | File Name                          | Size |
|------------------|------------------------------------|------|
| us-bio-seq-trans | GPCI-P08-07904222003-usbios.xml    |      |
| us-bio-seq-trans | us-bio-seq-trans.dtd               |      |
| us-bio-seq-trans | us-bio-seq-trans.xsl               |      |
| sequence-listing | GPCI-P08-079SubstituteSequence.txt |      |
| package-data     | GPCI-P08-07904222003-pkda.xml      |      |
| package-data     | package-data.dtd                   |      |
| package-data     | us-package-data.xsl                |      |
| Total files size |                                    |      |

Message Digest: 424c81ed87cafaca5735dc44bc1b16035220763d

Digital Certificate Holder Name: cn=David P. Halstead,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- APR 28 2003
- ☐ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☒ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**RECEIVED**

APR 30 2003

**Applicant Must Provide:**

TECH CENTER 1600/2000

- ☐ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

PatentIn Software Program Support (SIRA)

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To Purchase PatentIn Software.....703-306-2600

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PTO/SB/17 (10-02)  
Approved for use through 10/31/2002. OMB 0651-0032

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**  
**for FY 2003**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$)**205.00****Complete if Known**

|                      |               |
|----------------------|---------------|
| Application Number   | 09/865018     |
| Filing Date          | May 24, 2001  |
| First Named Inventor | Joan Massague |
| Examiner Name        | R. Hayes      |
| Group Art Unit       | 1647          |
| Attorney Docket No.  | GPCI-P08-079  |

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☒ Deposit Account

Deposit Account Number: 18-1945

Deposit Account Name: Ropes &amp; Gray

The Commissioner is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee

to the above-identified deposit account.

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 750      | 2001         | 375      | Utility filing fee     |          |
| 1002         | 330      | 2002         | 165      | Design filing fee      |          |
| 1003         | 520      | 2003         | 260      | Plant filing fee       |          |
| 1004         | 750      | 2004         | 375      | Reissue filing fee     |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          | (\$)                   | 0.00     |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                    |  |      |              |   |                |   |          |
|--------------------|--|------|--------------|---|----------------|---|----------|
| Total Claims       |  | ** = | Extra Claims | x | Fee from below | = | Fee Paid |
| Independent Claims |  | ** = |              | x |                | = |          |
| Multiple Dependent |  |      |              |   |                | = |          |

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |          |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                          |          |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |          |
| 1204         | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |          |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          | (\$)   | 0.00     |

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

| Large Entity                      |          | Small Entity |          | Fee Description  | Fee Paid           |
|-----------------------------------|----------|--------------|----------|--|--------------------|
| Fee Code                          | Fee (\$) | Fee Code     | Fee (\$) |  |                    |
| 1051                              | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |                    |
| 1052                              | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet                     |                    |
| 1053                              | 130      | 1053         | 130      | Non-English specification  |                    |
| 1812                              | 2,520    | 1812         | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |                    |
| 1804                              | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |                    |
| 1805                              | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |                    |
| 1251                              | 110      | 2251         | 55       | Extension for reply within first month                                     |                    |
| 1252                              | 410      | 2252         | 205      | Extension for reply within second month                                    | 205.00             |
| 1253                              | 930      | 2253         | 465      | Extension for reply within third month                                     |                    |
| 1254                              | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |                    |
| 1255                              | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |                    |
| 1401                              | 320      | 2401         | 160      | Notice of Appeal   |                    |
| 1402                              | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |                    |
| 1403                              | 280      | 2403         | 140      | Request for oral hearing   |                    |
| 1451                              | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |                    |
| 1452                              | 110      | 2452         | 55       | Petition to revive - unavoidable   |                    |
| 1453                              | 1,300    | 2453         | 650      | Petition to revive - unintentional   |                    |
| 1501                              | 1,300    | 2501         | 650      | Utility issue fee (or reissue)   |                    |
| 1502                              | 470      | 2502         | 235      | Design issue fee   |                    |
| 1503                              | 630      | 2503         | 315      | Plant issue fee  |                    |
| 1460                              | 130      | 1460         | 130      | Petitions to the Commissioner  |                    |
| 1807                              | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17(q)  |                    |
| 1806                              | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  |                    |
| 8021                              | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |                    |
| 1809                              | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |                    |
| 1810                              | 750      | 2810         | 375      | For each additional invention to be examined (37 CFR 1.129(b))             |                    |
| 1801                              | 750      | 2801         | 375      | Request for Continued Examination (RCE)                                    |                    |
| 1802                              | 900      | 1802         | 900      | Request for expedited examination of a design application                  |                    |
| Other fee (specify)               |          |              |          |  |                    |
| *Reduced by Basic Filing Fee Paid |          |              |          | SUBTOTAL (3)   | (\$) <b>205.00</b> |

**SUBMITTED BY**

Name (Print/Type) David P. Halstead, Ph.D.

Registration No. (Attorney/Agent)

44,735

**Complete (if applicable)**

Telephone (617) 951-7615

Signature

Date

April 22, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC, 20531, on the date shown below.

Dated: April 22, 2003

Signature:

(Brent S. LaBarge)